# INSTRUCTIONS

# 2008-2014
# AGENCY CAPITAL PLANS

Capital Planning Advisory Board
of the
Kentucky General Assembly

As Approved December 6, 2006

# 2008-2014 AGENCY CAPITAL INSTRUCTIONS

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## <u>INTRODUCTION</u>

KRS 7A.120(3) directs that in each odd-numbered year each state agency is to submit information about its facilities and facilities-related needs to the Capital Planning Advisory Board (CPAB) "in the form that shall be prescribed by the board."

### Content

The 2008-2014 plans will be comprised of three sections. Information in the <u>Background</u> section is intended to provide an understanding of the agency and a context in which to review its capital needs. Information in the <u>Plan</u> section will report capital needs and how the agency plans to address them. An <u>Ancillary Records</u> section contains items applicable to only selected agencies.

The following pages identify several forms to be included in each section of the plan. However, ***not every agency will be required to complete every form***. A checklist – using a question and answer format – will enable the agency to determine which forms it must complete (Appendix A).

It is highly unlikely that all projects proposed or needed by an agency could be undertaken in the first biennium of the planning period. Therefore, ***each project is to be listed in the biennium in which the agency believes it is actually needed or could reasonably be undertaken***. Factors to be taken into account include the ability to manage multiple projects in the same timeframe, the capacity to house individuals displaced by multiple concurrent projects, etc.

***The Board expects to be informed of any and all actions (underway or proposed) that materially affect state agency physical plants—either the composition of the physical plant, its management, or its financing***. In addition to the traditional state construction and leases, such actions might include construction by non-state entities on state-owned property, transfers of property to a non-state entity while still being used by the agency for a state purpose, and proposals to pursue projects using unique or innovative financing or construction approaches. If the agency is uncertain as to where to report such actions in the formats that are provided, CPAB staff should be contacted for further information.

### Changes Since the Last Planning Instructions

The 2008-2014 agency capital planning instructions are essentially the same as those used for the 2006-2012 plans. However, pursuant to action of the 2006 General Assembly, the thresholds for submission of proposed projects have been changed such that the following are now required to be included in the capital plans:

- **construction projects costing $600,000 or more each;**
- **information technology systems costing $600,000 or more each; and**
- **equipment items costing $200,000 or more each.**

There have been no changes relative to grant/loan programs or court facilities projects. As in the past, any grant/loan program authorized in the capital budget and any proposed court facility project with an annual use allowance of $200,000 or more must be submitted.

Two forms have been revised to streamline and provide better information in the Background section of the plans. The Agency Physical Plant forms will be used to report only changes, rather than comprehensive data, and the Status of Recently Completed/Ongoing Projects form will be required only for completed construction and information technology projects, state-funded project pools, and grant/loan programs. Updates on other authorized and ongoing projects will be obtained from the Quarterly Capital Projects Status reports submitted to the LRC Capital Projects and Bond Oversight Committee.

## Submission Level

Capital plans are to be completed and submitted at the organizational levels identified in Appendix B.

## Key Dates

Following are key dates for the 2008-2014 capital planning process:

| | |
|---|---|
| April 15, 2007 | Due date for submission of agency plans to CPAB. |
| July, 2007 | CPAB meeting to review agency plans. |
| October 1, 2007 | Deadline for submission of amendments to the agency plans. |
| November 1, 2007 | Due date for CPAB transmittal of the Statewide Capital Improvements Plan to the heads of the three branches of government. |

## Electronic Capital Planning System

All parts of the agency plans are to be completed and transmitted to the Capital Planning Advisory Board using a web-based application developed by staff of the Legislative Research Commission (LRC) Office of Computing and Information Technology. To the extent possible, agencies will be able to review and update information from the 2005 submissions that has already been pre-loaded into the system.

As in the past, data from the first biennium of the 2008-2014 plans will be transferred to the BRASS system to facilitate submission of the agency capital budget requests for 2008-10.

The electronic capital planning system is available through the CPAB homepage at www.lrc.ky.gov/statcomm/CPAB/homepage.htm. Only those individuals who have been granted the necessary password and login authorization by CPAB staff may access the system.

Instructions for using the system are provided on the Capital Planning System homepage.

## BACKGROUND

**The Background section of each agency's capital plan is to provide a context for review of the project proposals and other changes in the agency's physical plant that are identified in subsequent sections of the plan. Narratives addressing the agency's mission and programs as well as the handling of its facilities management functions are in this section. It also provides information on agency-administered and/or agency-occupied property, and on recently completed or ongoing agency capital projects.**

### AGENCY MISSION AND PROGRAMS

**FORM SYP-B1 is to provide a summary overview of the agency's current mission and programs**. The narrative is to address the following items:

- The statutory basis for the agency;
- The major programs/functions of the agency; and
- In the context of facilities and technology, how services are currently delivered by the agency.

The length of the narrative should take into account the relative size and complexity of the agency, but may not exceed one page.

### AGENCY FACILITIES MANAGEMENT

**FORM SYP-B2 is to describe how the facilities management and maintenance functions are handled within the agency**. The narrative is to address, at a minimum, the following items:

- The unit responsible for agency facilities - whether owned or leased,
- The unit's location within the organizational structure of the agency,
- The responsibilities handled by the unit,
- The number and types of personnel in the unit, and
- Any contracts or outsourcing to other vendors for maintenance of the agency's state-owned facilities.

The length of the narrative should take into account the relative size and complexity of the agency, but may not exceed one page.

### CAPITAL-RELATED REPORTS

**FORM SYP-B3 is to address any capital-related reports of the agency that meet the following criteria**:

- Have been completed since April 1, 2005 (the last plan submission),
- Are currently underway, and/or
- Are planned to be undertaken during the remainder of the 2006-08 biennium.

Among the reports/studies to be identified are campus/facility master plans and feasibility studies for specific projects. Include agency strategic plans or studies of programmatic issues only if they also specifically address capital issues. The following information is to be provided for each report:

Title of the Report

Purpose of the Report – Briefly describe the subject matter addressed and why the report was prepared.

Who Prepared the Report – Identify the in-house group and/or outside consultant(s) that prepared the report.

Completion Date – Identify the actual or anticipated completion date for the report.

Approval of the Report – If the report was reviewed and approved by the governing body of the agency/institution, identify that body and the date of such action.

Status of Providing a Copy to CPAB – The status is to be identified as one of the following: previously provided, to be provided by April 15, or study not yet completed. (For lengthy studies, the executive summary only should be forwarded. However, a copy of the complete study may subsequently be requested.)

Proposed Report-Related Projects – Identify by title and biennium any projects ***directly*** related to this report that are proposed in the 2008-2014 plan (Form SYP-P2).

## AGENCY PHYSICAL PLANT

The agency physical plant data are to address property (land and/or facilities) administered and/or occupied by the reporting agency. Such property may be stated-owned or it may be leased from a private vendor or other entity. While in most instances, only ***changes*** since submission of the last plan in April 2005 are to be identified, this section also requires the reporting of vacant square footage in state-owned facilities, and information on state-owned aircraft.

**FORM SYP-B4a is a report of changes in state-owned property that is managed/administered by the reporting agency**. The following are to be reported for the two-year period from April 1, 2005 to March 31, 2007:

- Acquisition of land and/or facilities - for each, identify the following:
  - Property name and location,
  - Acreage or square footage,
  - When acquired (month & year),
  - Reason for the acquisition, and
  - Type[1] and programmatic use[2] of the space.

- Disposal of land and/or facilities - for each, identify the following:
  - Property name and location,
  - Acreage or square footage,
  - Type of space[1] and programmatic use[2] prior to disposal,

- When and how disposed of (month & year), and
- Reason for disposal.

▪ Major changes in the use of property as occupied by the reporting agency - for each, identify the following:

  - Property name and location,
  - Acreage or square footage (total and amount involved in the change),
  - When the change occurred (month & year),
  - Type of space[1] and programmatic use[2] before and after the change, and
  - Reason for the change.

▪ Major changes relating to other occupants of the property - for each, identify the following:

  - Property name and location,
  - Name of occupant,
  - Type of entity[3,]
  - Type of change – e.g., occupied the space, vacated the space, increased/decreased the space occupied - identify acreage or square footage involved, and
  - When the change occurred (month & year).

▪ Land leases to non-state-entities for the construction of non-state-owned facilities on state-owned property – for each, identify the following:

  - Property name and location,
  - Name of lessee,
  - Type of entity[3],
  - Date of the agreement (month & year),
  - Description of facility to be constructed,
  - Completion date for the facility (month & year),
  - Terms of the agreement for use of the state-owned land - to include monetary arrangements, duration of the agreement, provisions for extension/renewal, and provisions relative to maintenance and operating costs for the facility, and
  - Provisions, if any, under which the facility will/would become property of the state.

**FORM SYP-B4b is a report of vacant square footage in state-owned facilities managed/administered by the reporting agency**. (This does not include space that is temporarily off-line while undergoing renovation.) The following are to be reported for vacant square footage as of March 31, 2007.

- Property name and location,
- Total square footage,
- Square footage vacant,
- How long has the space been unoccupied,
- Efforts to eliminate the vacancy, and
- Other information as appropriate - for example, reason the space is not occupied (such as "in need of renovation"), anticipated changes in the status of the vacant space during the remainder of the 2006-08 biennium, etc.

**Form SYP-B4c is a report of changes in space occupied by the reporting agency in state-owned property administered by another agency**. The following are to be reported for the two-year period from April 1, 2005 to March 31, 2007:

- Newly occupied space, either entirely new or additional - for each, identify the following:
  - Property name and location,
  - Administering agency or institution,
  - Acreage or square footage occupied as of April 1, 2005,
  - Acreage or square footage occupied as of March 31, 2007,
  - When occupied (month & year),
  - Type[1] and programmatic use[2] of the space, and
  - Reason for acquiring the space.

- Vacated space, either entirely or partially - for each, identify the following:
  - Property name and location,
  - Administering agency or institution,
  - Acreage or square footage occupied as of April 1, 2005,
  - Acreage or square footage occupied as of March 31, 2007,
  - Type[1] and programmatic use[2] of the space,
  - When vacated (month & year), and
  - Reason for vacating the space.

**Form SYP-B4d is a report of changes in space occupied (leased) by the reporting agency in non-state-owned property.** This includes space obtained from a private vendor, another governmental entity, etc. The following are to be reported for the two-year period from April 1, 2005 to March 31, 2007:

- Newly occupied space, either entirely new or additional - for each, identify the following:
  - Property name and location,
  - Lease ID (PR number),
  - Acreage or square footage occupied as of April 1, 2005,
  - Acreage or square footage occupied as of March 31, 2007,
  - When occupied (month & year),
  - Type[1] and programmatic use[2] of the space, and
  - Reason for acquiring the space.

- Vacated space, either entirely or partially - for each, identify the following:
  - Property name and location,
  - Lease ID (PR number),
  - Acreage or square footage occupied as of April 1, 2005,
  - Acreage or square footage occupied as of March 31, 2007,
  - Type[1] and programmatic use[2] of the space,
  - When vacated (month & year), and
  - Reason for vacating the space.

**<u>Form SYP-B4e</u> is a report of changes in space occupied (subleased) by the reporting agency in non-state-owned property leased by another state agency.** The following are to be reported for the two-year period from April 1, 2005 to March 31, 2007:

- <u>Newly occupied space</u> - for each identify the following:
  - Property name and location,
  - Leasing agency (the state agency from whom the reporting agency is subleasing),
  - Acreage or square footage subleased as of April 1, 2005,
  - Acreage or square footage subleased as of March 31, 2007,
  - When occupied (month & year),
  - Type[1] and programmatic use[2] of the space,
  - Reason for acquiring the space.

- <u>Vacated space, either entirely or partially</u> - for each identify the following:
  - Property name and location,
  - Leasing agency (the state agency from whom the reporting agency is subleasing),
  - Acreage or square footage subleased as of April 1, 2005,
  - Acreage or square footage subleased as of March 31, 2007,
  - Type[1] and programmatic use[2] of the space,
  - When vacated (month & year), and
  - Reason for vacating the space.

**<u>FORM SYP-B4f</u> is a report of any state-owned aircraft for which the reporting agency is responsible**. The following data are to be provided for each aircraft.

- County – Where the aircraft is based.
- Make and Model
- Size – Number of passengers or other relevant measure.
- Primary use
- Year manufactured
- Year acquired by the state
- Other Description - Additional information to assist in identifying and understanding the aircraft being reported.

*Notes for Forms SYP-B4a, b, c, d, and e*

[1] <u>Type of space</u> should be identified as one of the following: office, storage, education, housing, recreation, other.

[2] <u>Programmatic use</u> of the space should be described generally in terms of the reporting agency's major departments, programs, or functions.

[3] <u>Type of entity</u> should be identified as one of the following: Kentucky state agency or postsecondary institution, federal government, local government, private non-profit organization, private for-profit organization, private individual, or other (must be explained).

## STATUS OF RECENTLY COMPLETED / ONGOING PROJECTS

**Form SYP-B5 is to be completed for the following, only:**

- Construction projects or information technology systems ***completed*** since submission of the 2006-2012 plans in April 2005,
- ***Maintenance pools*** authorized in the 2004-06 and 2006-08 budgets and financed from state cash (e.g., Investment Income) or General Fund-supported bonds; and
- ***Grant/loan programs*** authorized in the 2006-08 budget**.**

**Status information for all other authorized projects will be obtained from the Quarterly Capital Projects Status Reports submitted to the LRC Capital Projects and Bond Oversight Committee.**

For the applicable projects, Form SYP-B5 will be pre-populated with information that is available to CPAB staff. ***Only*** the fields described below are to be completed by the agency.

Current Description - This field is to be completed as follows:

- For ***construction projects*** (including court facilities), describe the project as built and occupied. Specific items to be addressed include - but should not be limited to - the following: location, square footage or other relevant measures, type(s) of space, and use(s) of the space.

- For ***information technology systems***, describe the system as acquired and implemented. All aspects of the project addressed with the appropriated funds are to be included - hardware, software, professional services, and digital data products.

- For ***grant/loan programs***, identify the actual carry forward from previous authorizations into the current biennium, total expenditures to date from the authorized/reauthorized amounts, and total obligations to date (over and above the actual expenditures) from the authorized/reauthorized amounts. Also address the status of the issuance of any bonds authorized for the program for the current biennium.

Itemization for Project Pools Only - This section is to be completed only for maintenance pools. It provides a format to include individual project cost estimates and the status of each project (completed, underway, proposed). Up to 30 projects may be itemized. If the agency expects to finance more than 30 projects from a given pool, the major projects should be itemized with those remaining aggregated into a single item (e.g., 5 additional projects); this is to be done ***only*** if there are more than 30 projects in the biennium.

## PLAN

**The Plan section of each agency's capital plan is to report capital-related needs and how the agency proposes to address them. Such needs may be addressed through construction projects, equipment or information technology acquisitions, or state-administered grant/loan programs that are financed through the capital budget. The Plan section is also to report agency needs for additional space that would be addressed through means other than construction, as well as proposed reductions in space administered or occupied by the agency.**

## OVERVIEW

**FORM SYP-P1 is to provide an overview of the Plan section**. It is not to be a review or itemization of all of the projects proposed. The narrative is to address the following:

- An overall view of the major capital-related needs and issues facing the agency and how the agency proposes to address them, focusing particularly on the upcoming three biennia,
- The process used and the factors taken into consideration in determining the agency's priorities for 2008-10 as reflected in the prioritized list of projects,
- Any major changes in needs and priorities since the last plan submission (April 2005) and the reason for those changes, and
- Any actions implemented since the last plan submission or being contemplated that affect how the agency's capital needs are now being approached or will be approached in the future.

The length of the narrative should take into account the relative size and complexity of the overall Plan section, but may not exceed two pages.

**FORMS SYP-P1a, P1b, and P1c provide summary information about the capital projects proposed in the agency's plan**. These reports, which are automatically generated from data provided by the agency on Form SYP-P2 (see below), are as follows:

- The Financial Summary for Proposed Projects (Form SYP-P1a) totals, by fund source, the estimated costs of all projects proposed in each biennium.
- The (Listing of) Proposed Projects Involving the General Fund or Road Fund (Form SYP-P1b) lists these projects by priority ranking as assigned for 2008-10, and in alphabetical order for 2010-12 and for 2012-14.
- The (Listing of) Proposed Projects Not Involving the General Fund or Road Fund (Form SYP-P1c) lists all such projects in alphabetical order for each biennium (2008-10, 2010-12, and 2012-14).

## PROPOSED PROJECTS

**FORM SYP-P2 is to be completed for each capital project proposed to be undertaken during the planning period (2008-10, 2010-12, 2012-14) that meets any of the following criteria:**

- Capital construction projects with an estimated cost of $600,000 or more each.
- Project pools consisting of multiple construction projects where the cost of each project is less than $600,000.
- Equipment items with an estimated cost of $200,000 or more each. (Postsecondary education scientific or research equipment is to be submitted for 2008-10 only.)
- Information technology systems with an estimated cost of $600,000 or more each*.
- State-administered grant/loan programs included in the capital budget that provide financial assistance to non-state agencies or entities.
- Court facilities where the annual use allowance for new or renovated space is $200,000 or more.

* An ***information technology system*** is defined to be related computer or telecommunications components that provide a functional system for a specific business purpose. All of the following are to be considered in determining whether the estimated cost meets the $600,000 threshold requiring submission in the capital plan – hardware, software, professional services, and digital data products.

If funding will be sought over a period of ***multiple biennia*** (e.g., design in 2008-10 and construction in 2010-12), submit a separate Form SYP-P2 for each biennium. Similarly, separate forms must be submitted if funding for a grant/loan or other program is proposed in more than one biennium of the planning period.

***Projects proposed in the 2006-2012 submissions remain in the planning system. Agencies are to carefully review and update, as necessary, that information.***

The general information requirements for each project include a description and explanation of the need for the project, the estimated project budget, the estimated impact of the completed project on the agency's operating budget, and a project history (if applicable). The specific information requirements are dependent upon the type of project – construction, equipment, information technology, or grant/loan program. The general and specific information requirements are described below.

## General (information requirements for all types of projects)

<u>Project Title</u> – For ***construction*** projects, the project title must begin with an active verb describing the nature of the project (e.g., construct, renovate, design) and include, where applicable, the building name and/or campus name. (Use of a verb is not required in titles of equipment, information technology, or grant/loan programs.)

If additional funding is being proposed for a current project, the title must be identical to the authorization in the enacted budget with " - Add'l" appended to the end of the project title.

<u>Appropriation Unit</u> – Identify the appropriation unit under which the project would be reflected in the state budget.

<u>Biennium</u> – Identify the biennium in which the project is proposed to be undertaken.

Cabinet Priority and Agency Priority – Priority numbers are to be assigned to all projects proposed for ***2008-10 only that involve the general fund*** (cash or bonds) or road fund. Priority numbers are not to be assigned for 2008-10 projects that do not involve the general fund or road fund, or to any projects that are planned for 2010-12 or 2012-14.

*Note*: The assignment of priority numbers is not done on Form SYP-P2, rather through a separate function in the Capital Planning System.

Category – Each project must be identified as one of the following: construction-protect investment in plant, construction-provision of services, equipment, information technology, or grant/loan program.

Location – Identify the county and Area Development District (ADD) in which the project is to be located. Location options also include multi-county, out-of-state, and undetermined.

Item Number – This optional field may be used by the agency at its discretion.

Additional Funding – If this is a current project for which additional funding is being proposed in order to complete the project as authorized, provide the following: 1) title and description of the project as currently authorized, 2) an explanation of the current status of the project, and 3) the basis on which it was determined that additional funding will be needed. See above for additional requirements for the project title.

This item is applicable only to discrete construction, equipment, or information technology projects. It is not applicable to the following: 1) a project whose current authorization is for design or design/site development only; 2) a project that was initially authorized to be completed in phases and for which Phase II or a subsequent phase is being proposed; or 3) authorizations that recur each biennium, e.g., statutory capital construction pools, grant/loan programs, or selected other programs.

Brief Description / Justification – Using layman's language, describe in two or three sentences ***what the project is*** and ***why it is needed***. Any acronyms must be fully explained. If applicable, the following are to be specifically noted:

- ***Relevant overall project measurements***, e.g., square footage (construction), linear footage (utility projects), acres (land acquisition), capacity (heating/cooling equipment).
- ***Formal citations by*** a regulatory or licensing agency that are being addressed.

## Construction

The following specific information is to be provided for construction projects.

Project Budget – Identify the estimated cost of the project by fund source and by cost element. The ***fund sources*** are general fund (cash or bonds), restricted funds, federal funds, road fund, agency bonds, other (private funds-cash), other (long-term financing), or other (local bonds, court projects only). For court projects, the annual use allowance is also to be reported. The ***cost elements*** are land acquisition, site survey/preparation, project design, construction cost, moveable equipment and furniture, project contingency, and other (must be specified).

If amounts are reported in the "other (long-term financing)" fund source category, describe that financing proposal. This category is not to reflect the proposed use of state bonds (general fund debt service) or agency bonds, which are to be reported separately above. It does include the issuance of other financial instruments that require payment of principal and interest over time, including, but not limited to, notes, bonds, securities, and certificates of participation, regardless of the identity of the issuer.

Projects proposed to be undertaken using an energy savings performance contract (ESPC) are to use the "other (long term financing)" fund source category.

An accompanying narrative is to ***describe how the project budget was determined*** (e.g., in-house estimates, outside consultant, feasibility study).

<u>Impact on Agency Operating Budget</u> – If the project will have an impact on the agency's operating budget after it is completed and operational, report that impact. More detailed information will be expected for those projects proposed for 2008-10, than those proposed for 2010-12 or 2012-14.

The impact figures are to ***reflect both programmatic costs and facility operating and maintenance costs***. The impact on the operating budget may be 1) increased costs, 2) savings, or 3) a combination of increased costs and savings. It may or may not be quantifiable.

If the impact can be quantified, report the amounts for the first full year of operations by fund source - general fund, restricted funds, federal funds, road fund, other (must be specified). If the net impact is savings, enter those figures as negative numbers (-). Otherwise, the figures will be assumed to represent net increased costs to the agency.

Explain the figures in the accompanying narrative by addressing, at a minimum, the following:

- The items involved (e.g., personnel, operating) and related amounts.
- A separate identification of the costs and savings.
- A separate identification of one-time, non-recurring items and amounts.
- The lease number and annual cost savings if the project will result in the reduction or cancellation of space leased by the state from a private vendor.

If the impact ***cannot be quantified***, describe the nature of the impact (e.g., operating efficiencies) in a detailed narrative.

If the project will ***generate revenues for the agency*** (restricted funds), describe that capability in the narrative and include an estimate of the revenues that would be generated on an annual basis. ***Report these amounts in the narrative only***, not in the chart by fund source.

General economic development impacts are not to be reported here, rather they are to be described in the Additional Description/Justification narrative below.

<u>Installation ID and Name</u> and <u>Facility Name and STARS Number</u> – Identify the Installation ID and Name and the Facility STARS Number and Name (for existing facilities).

Method of Procurement – Identify the method of procurement as one of the following: purchase, lease, lease-purchase, or other (must be specified).

Fuel Type – Identify the fuel type to be used by the facility as one of the following: coal, electric, natural gas, or other (must be specified).

Type of Space – ***Postsecondary institutions only*** must report whether educational and general, housing and dining, or hospital space is addressed by the project.

Completion Date – Identify the anticipated date of ***substantial completion*** (that is, when the agency anticipates taking possession of or occupying the facility or improvement).

Existing Facility – If the project will address (renovate, expand, replace, etc.) an existing facility, ***describe the facility as it currently exists - not the project that is being proposed to address it.*** The following are to be provided:

- Facility name,
- Type of space (e.g., office, storage, residential, educational),
- Programmatic use,
- Square footage,
- Age,
- Condition,
- Historical designations, and
- Capital projects recently completed.

Relocation of Existing Program/Activity – If an existing program or activity is to be ***relocated to the space*** being addressed by this project, provide the following information:

- What is that program/activity and where is it presently housed.
- How is the space currently occupied by the program/activity expected to be used after the program is relocated.
- Will the proposed new use require renovation of the vacated space. If so, indicate whether the funding is included in this project (identify the funding amount and SF to be addressed), in a separate project in this plan (identify the project title and biennium), or in another manner (describe that approach).

Phased Projects – If the project is proposed to be undertaken in phases over multiple biennia, or has already been authorized as a phased project, the project titles and biennia of additional phases that are proposed in this plan and/or that have already been authorized are to be identified. Project titles for multi-phase projects should be consistent. If project phases beyond 2012-14 are proposed, that is also to be noted and explained.

Elimination of the Need for Other Projects Submitted in this Plan – If completion of ***this project will eliminate the need for one or more other projects*** listed in the 2008-2014 plan, identify each such project by title and biennium as listed on Form SYP-P2 and explain why that project would no longer be needed.

Elimination of the Need for this Project – If completion of ***another project in the 2008-2014 plan will eliminate the need for this project***, identify that other project by title and biennium, and explain why its completion would eliminate this need.

Additional Description/Justification – Use this space to elaborate on the Brief Description/Justification provided above. More detailed information will be expected for those projects being proposed for 2008-10 than for those being proposed for 2010-12 or 2012-14. The following items are to be addressed, as appropriate.

- If the project addresses a ***citation, order, or agreement involving the state or federal courts or a regulatory agency***, identify the following: 1) the citation, order or agreement, 2) the issuing court or regulatory agency, 3) the date of the action, 4) the deficiency involved, 5) the correction/remedy required, and 6) the consequences of not correcting the deficiency.

- Report any more ***detailed project measurements*** that are available and were not included in the Brief Description/Justification (e.g., SF by type of space).

- Discuss the ***proposed site*** for the project, any required land acquisition(s), and any necessary site development that will be involved.

- Address any ***prior planning and/or design work*** that has been done on the project. Include references to any master plans, feasibility studies, or other capital-related reports that specifically identified the need for this project and describe any formal planning or design work that has already been completed.

- If this project ***addresses needs arising due to the completion of another authorized project***, identify that prior project and the relationship of this project to it. (Such projects may include renovation of vacated space for continued use, expansion or enhancement of utilities to serve a newly constructed facility, or construction of a facility for which the design phase has been authorized.)

- If, when completed, the project will have an ***economic development impact*** resulting in the generation of tax receipts to the Commonwealth and/or local community, describe that anticipated impact relative to why it is expected to occur, any revenue estimates that may be available, etc.

Previous Capital Plan Submissions – If this project has been submitted by the agency in one or more previous six-year capital plans, identify the project title and planning period of each submission. (List the plans chronologically beginning with the most recent.) ***If the current project differs from the most recent plan submission relative to the project budget, impact on operating budget, or description, explain the differences and the rationale for those changes.***

Previous Budget Request Submissions – If this project has been submitted by the agency in one or more previous biennial capital budget requests, identify the project title and biennium of each submission. (List the requests chronologically beginning with the most recent.) If the current project differs from the most recent previous budget request submission, describe the differences and the rationale for those changes.

Previous Budget Authorizations – If this project has been authorized for the agency to undertake in one or more previous biennial state budgets, identify the project title and biennium of each authorization. (List the authorizations chronologically beginning with the most recent.) If the project was not undertaken in the most recent authorization, explain why. If the current project differs from the most recent authorization, describe the differences and the rationale for those changes.

Supplemental Instructions for Court Projects

- In the Project Budget, ***Fund Source*** section, use the "Other-Local Bonds" fund source to report the debt to be reimbursed by annual use allowance payments paid through Administrative Office of the Courts.
- In the Project Budget, include the cost of ***furnishings*** even though they are eliminated from the project scope when calculating the required annual use allowance.
- Report the ***annual use allowance*** in the space provided following the Project Budget.
- In the Detailed Description/Justification narrative, identify the following:
    - ***percentage of the facility intended for court use***,
    - ***type of court facility*** to be constructed (rural, urban/metropolitan, or satellite),
    - the ***needs projection*** that the facility is expected to address (e.g., 10 years, 20 years), and
    - status of executing the ***memorandum of agreement*** with the county/local government.

## Equipment

The following specific information is to be provided for equipment items.

<u>Project Budget</u> – The project budget is to reflect – by fund source, only - the estimated cost of the equipment. The ***fund sources*** are general fund (cash or bonds), restricted funds, federal funds, road fund, agency bonds, other (private funds-cash), or other (long-term financing).

An accompanying narrative is to ***describe how the project budget was determined*** (e.g., in-house estimates, outside consultant, feasibility study).

If amounts are reported in the "other (long-term financing)" fund source category, describe that financing proposal. This category is not to reflect the proposed use of state bonds (general fund debt service) or agency bonds, which are to be reported separately above. It does include the issuance of other financial instruments that require payment of principal and interest over time, including, but not limited to, notes, bonds, securities, and certificates of participation, regardless of the identity of the issuer.

<u>Impact on Agency Operating Budget</u> – If the project will have an impact on the agency's operating budget after it is completed and operational, report that impact. More detailed information will be expected for those projects proposed for 2008-10, than those proposed for 2010-12 or 2012-14.

The impact figures are to ***reflect both programmatic costs and equipment operating and maintenance costs***. The impact on the operating budget may be 1) increased costs, 2) savings, or 3) a combination of increased costs and savings. It may or may not be quantifiable.

If the impact can be quantified, report the amounts for the first full year of operations by fund source - general fund, restricted funds, federal funds, road fund, other (must be specified). If the net impact is savings, enter those figures as negative numbers (-). Otherwise, the figures will be assumed to represent net increased costs to the agency.

Explain the figures in the accompanying narrative by addressing, at a minimum, the following:

- The items involved (e.g., personnel, operating) and related amounts;

- A separate identification of the costs and savings;
- A separate identification of one-time, non-recurring items and amounts; and
- The lease number and annual cost savings if the project will result in the reduction or cancellation of space leased by the state from a private vendor.

If the impact ***cannot be quantified***, describe the nature of the impact (e.g., operating efficiencies) in a detailed narrative.

If the project will ***generate revenues for the agency*** (restricted funds), describe that capability in the narrative and include an estimate of the revenues that would be generated on an annual basis. Report these amounts in the narrative only, not in the chart by fund source.

Method of Procurement – Identify the method of procurement as one of the following: purchase, lease, lease-purchase, or other (must be specified).

Primary Program Purpose – ***Postsecondary institutions only*** must report the primary program purpose to be served the by the equipment as one of the following: instruction, public service (hospital), public service (other), research, support (academic/institutional), combination (specify), or other (specify).

Completion Date – Identify the anticipated date of full installation and utilization of the item.

Existing Equipment – If existing equipment will replaced/enhanced/expanded, describe the current equipment and how it will be affected. If this is a replacement, an explanation of what will be done with the existing equipment is also to be provided.

Additional Description/Justification – Use this space to elaborate on the Brief Description/Justification provided above, as appropriate. More detailed information will be expected for those projects being proposed for 2008-10 than for those being proposed for 2010-12 or 2012-14.

Previous Capital Plan Submissions – If this project has been submitted by the agency in one or more previous six-year capital plans, identify the project title and planning period of each submission. (List the plans chronologically beginning with the most recent.) If the current project differs from the most recent submission, describe the differences and the rationale for those changes.

Previous Budget Request Submissions – If this project has been submitted by the agency in one or more previous biennial capital budget requests, identify the project title and biennium of each submission. (List the requests chronologically beginning with the most recent.) If the current project differs from the most recent previous budget request submission, describe the differences and the rationale for those changes.

Previous Budget Authorizations – If this project has been authorized for the agency to undertake in one or more previous biennial state budgets, identify the project title and biennium of each authorization. (List the authorizations chronologically beginning with the most recent.) If the project was not undertaken in the most recent authorization, explain why. If the current project differs from the most recent authorization, describe the differences and the rationale for those changes.

## Information Technology

The following specific information is to be provided for information technology systems.

<u>Project Budget</u> – Identify the estimated cost of the project by fund source and by cost element. The ***fund sources*** are general fund (cash or bonds), restricted funds, federal funds, road fund, agency bonds, other (private funds-cash), or other (long-term financing). The ***cost elements*** are hardware, software, professional services, digital data products, and other (must be specified).

An accompanying narrative is to ***describe how the project budget was determined*** (e.g., in-house estimates, outside consultant, feasibility study).

If amounts are reported in the "other (long-term financing)" fund source category, describe that financing proposal. This category is not to reflect the proposed use of state bonds (general fund debt service) or agency bonds, which are to be reported separately above. It does include the issuance of other financial instruments that require payment of principal and interest over time, including, but not limited to, notes, bonds, securities, and certificates of participation, regardless of the identity of the issuer.

<u>Impact on Agency Operating Budget</u> – If the project will have an impact on the agency's operating budget after it is completed and operational, report that impact. More detailed information will be expected for those projects proposed for 2008-10, than those proposed for 2010-12 or 2012-14.

The impact figures are to ***reflect both programmatic costs and system operating and maintenance costs***. The impact on the operating budget may be 1) increased costs, 2) savings, or 3) a combination of increased costs and savings. It may or may not be quantifiable.

If the impact can be quantified, report the amounts for the first full year of operations by fund source - general fund, restricted funds, federal funds, road fund, other (must be specified). If the net impact is savings, enter those figures as negative numbers (-). Otherwise, the figures will be assumed to represent net increased costs to the agency.

Explain the figures in the accompanying narrative by addressing, at a minimum, the following:

- The items involved (e.g., personnel, operating) and related amounts;
- A separate identification of the costs and savings;
- A separate identification of one-time, non-recurring items and amounts; and
- The lease number and annual cost savings if the project will result in the reduction or cancellation of space leased by the state from a private vendor.

If the impact ***cannot be quantified***, describe the nature of the impact (e.g., operating efficiencies) in a detailed narrative.

If the project will ***generate revenues for the agency*** (restricted funds), describe that capability in the narrative and include an estimate of the revenues that would be generated on an annual basis. Report these amounts in the narrative only, not in the chart by fund source.

Method of Procurement – Identify the method of procurement as one of the following: purchase, lease, lease-purchase, or other (must be specified).

Primary Program Purpose – ***Postsecondary institutions only*** must report the primary program purpose to be served the by the system as one of the following: instruction, public service (hospital), public service (other), research, support (academic/institutional), combination (specify), or other (specify).

Completion Date – Identify the anticipated date of full installation/implementation and utilization of the system.

Existing System – If an existing system will be replaced/enhanced/expanded, describe the current system and how it will be affected. If this is a replacement, an explanation of what will be done with the existing system is also to be provided.

Phased Projects – If the project is proposed to be undertaken in phases over multiple biennia, or has already been authorized as a phased project, the project titles and biennia of additional phases that are proposed in this plan and/or that have already been authorized are to be identified. Project titles for multi-phase projects should be consistent. If project phases beyond 2012-14 are proposed, that is also to be noted and explained.

Additional Description/Justification – Use this space to elaborate on the Brief Description/Justification provided above, as appropriate. More detailed information will be expected for those projects being proposed for 2008-10 than for those being proposed for 2010-12 or 2012-14.

Previous Capital Plan Submissions – If this project has been submitted by the agency in one or more previous six-year capital plans, identify the project title and planning period of each submission. (List the plans chronologically beginning with the most recent.) If the current project differs from the most recent submission, describe the differences and the rationale for those changes.

Previous Budget Request Submissions – If this project has been submitted by the agency in one or more previous biennial capital budget requests, identify the project title and biennium of each submission. (List the requests chronologically beginning with the most recent.) If the current project differs from the most recent previous budget request submission, describe the differences and the rationale for those changes.

Previous Budget Authorizations – If this project has been authorized for the agency to undertake in one or more previous biennial state budgets, identify the project title and biennium of each authorization. (List the authorizations chronologically beginning with the most recent.) If the project was not undertaken in the most recent authorization, explain why. If the current project differs from the most recent authorization, describe the differences and the rationale for those changes.

## Grant/Loan Programs

The following specific information is to be provided for grant/loan programs.

Project Budget – The project budget is to reflect the proposed funding for the program in the biennium specified by fund source and cost element. The ***fund sources*** are general fund (cash or bonds), restricted funds, federal funds, road fund, agency bonds, other (private funds-cash), or other (long-term financing). The ***cost elements*** are administration, grants, loans, other (must be specified).

An accompanying narrative is to ***describe how the budget was determined*** (e.g., in-house estimates, outside consultant, feasibility study).

Impact on Agency Operating Budget – If the proposed funding for the program will have an impact on the agency's operating budget after it is implemented, report that impact. The impact may be 1) increased costs, 2) savings, or 3) a combination of increased costs and savings. The impact may or may not be quantifiable.

If the impact can be quantified, report the amounts for the first full year of operations by fund source - general fund, restricted funds, federal funds, road fund, other (must be specified). If the net impact is savings, enter those figures as negative numbers (-). Otherwise, the figures will be assumed to represent net increased costs to the agency.

Explain the figures in the accompanying narrative by addressing, at a minimum, the following:

- The items involved (e.g., personnel, operating) and related amounts;
- A separate identification of the costs and savings;
- A separate identification of one-time, non-recurring items and amounts; and
- The lease number and annual cost savings if the project will result in the reduction or cancellation of space leased by the state from a private vendor.

If the impact ***cannot be quantified***, describe the nature of the impact (e.g., operating efficiencies) in a detailed narrative.

If the program will ***generate revenues for the agency*** (restricted funds), describe that capability in the narrative and include an estimate of the revenues that would be generated on an annual basis. Report these amounts in the narrative only, not in the chart by fund source.

New or Existing Program – Identify the program as new or existing.

If it is ***new***, describe the proposed program including the eligibility criteria and the award process. Also address the status of any proposed enabling legislation and any previous efforts to authorize/implement the program.

If this is an ***existing*** program, identify the statutory basis for the program, how long the program has been in place, its purpose, and how the program operates. Specifically describe the eligibility criteria and the process used to make awards. Also, describe how the program is administered and how those costs are financed.

Matching Funds – If a proposed general fund amount would be used to match funds from other sources, identify the source of the other funds (specific program) and the matching requirements.

Other Programs Addressing this Need – If any other state or federal programs address the same need as this project, identify the programs and the level of support anticipated to be available from them in the biennium for which this funding is proposed.

Funding Allocations Already Identified – If any specific projects have already been identified for allocations from the proposed funding, identify and describe those projects and the funding allocation that is proposed for each.

Additional Description/Justification – Use this space to elaborate on the Brief Description/Justification provided above. More detailed information will be expected for those projects being proposed for 2008-10 than for those being proposed for 2010-12 or 2012-14. The following items are to be addressed as appropriate.

- The historical and projected use of the program, including relevant data.
- Any major policy changes that have been made in the program since the last capital plan submission.
- Any major changes that are being proposed for the program.
- Any program evaluations or studies that have been completed concerning this program since the last capital plan submission. (A copy of the executive summary is to be forwarded to the CPAB office.)

## SPACE NEEDS

**FORM SYP-P3 is to address needs of the agency for additional or replacement space in the remainder of the current biennium or in the upcoming three biennia – other than those needs addressed by projects submitted on Form SYP-P2.** The following information is to be provided:

Location – Identify where the space is needed, by county (if known) or by area of the state (Area Development District).

Need – Identify the type of need as one of the following

- New — The agency does not currently occupy space in this county / area.
- Supplemental — The agency currently occupies space in this county / area, but needs additional space. That additional space may involve expansion at the current site, replacement of the current site with additional space at another site, or continued use of the current site with additional space also at another site.
- Replacement — The agency currently occupies space in this county/area, but wishes to acquire the same amount of space at a different location in order to vacate the current site.

Identify why the space is needed as one or more of the following:

- Provide new services to the county/area,
- Relieve current overcrowding of existing space,
- Provide for additional employees and/or functions,

- Consolidate multiple offices of the agency that are located in the same county,
- Consolidate multiple offices of the agency that are located in multiple counties,
- Relocate from space that is in poor physical condition,
- Relocate from space that is in an inappropriate location, or
- Relocate from space that is not appropriately configured.

Type of Space – Identify the type of space as one of the following: office, storage, educational, or housing.

Square Footage – Identify the amount of space that is needed.

Biennium – Identify when the space will be needed as one of the following: 2006-08, 2008-10, 2010-12, or 2012-14. If the space is needed in the current biennium (2006-08), indicate whether Form SR-4 has been submitted to the Division of Real Properties.

Impact on Existing Space – If this proposal for space will impact any existing space owned or occupied by the agency, identify the existing space (name of state-owned building, location(s), and PR number of lease(s), etc) and describe how it will be impacted. Items to be addressed include whether an existing lease or agreement will be cancelled or the square footage decreased, whether the existing space will be retained but used for a new or different function, etc.

Additional Explanation/Description - Use this space to identify the entity, function or program to be housed in the space and to provide any additional information that would be helpful in understanding the additional space that is needed.

## SPACE REDUCTIONS

**FORM SYP-P4 is to address any reductions in agency administered or agency occupied space that are anticipated in the remainder of the current biennium or in the upcoming three biennia.** Such reductions may occur through the disposal/demolition of state-owned property, through the termination of a lease with replacement space not to be leased, or other comparable situation. ***Do not list leases with private vendors that will be replaced by another lease.***

The following information is to be provided.

Location – Identify the county in which the space is located.

Amount of Space – Identify the amount of space to be reduced **-** acres or square footage.

Type of Space – Identify the type of space to be eliminated as one of the following and describe that space by location and property/building name, PR number, etc as appropriate:

- State-owned facility administered by the agency,
- State-owned land administered by the agency,
- Space leased by the agency from a private vendor or other non-state entity,
- Space occupied via an interagency agreement with another state agency,
- Other (must be accompanied by a detailed explanation).

Rationale – Identify why the space is to be eliminated as one of the following:

- Will be replaced by state-owned construction (at this or another site) that will serve the same purpose (the project title – as already authorized or as proposed in this plan – must be identified),
- To provide a site for state-owned construction to serve a new or different purpose (the project title – as already authorized or as proposed in this plan – must be identified),
- Is no longer needed (will not be replaced),
- Is to be replaced by space from a private vendor or other non-state entity,
- Is to be replaced by other existing state-owned space to be occupied via an interagency agreement with another state agency, or
- Other (must be explained).

Biennium – Identify when the space is to be eliminated as one of the following, 2006-08, 2008-10, 2010-12, or 2012-14. If the space is to be eliminated in the current biennium (2006-08), the status of that effort is to be reported.

Additional Explanation / Description – Use this space to identify the entity, function or program currently housed in the space to be reduced and to provide any additional information that would be helpful in understanding the proposed space reduction.

# ANCILLARY RECORDS

**The Ancillary Records section of each agency's capital plan is to address specific items that will be applicable only to selected agencies. The records include:**

- **The prioritization of projects by agencies who propose to use agency bonds as a fund source,**
- **The reporting of the use of off-budget funds for capital needs by agencies with such authority, and**
- **The identification of identical projects that are listed in the plans of more than one agency.**

## AGENCY BOND PRIORITIES

**FORM SYP-A2 is to be submitted only by postsecondary institutions that have proposed projects for which agency bonds have been identified as a fund source**. The institution is to list such projects in ***priority order in each biennium***.

## OFF-BUDGET FUNDS

**FORM SYP-A3 is to be completed only by those agencies that have facility-generated revenues or other off-budget revenues that - as specified in statute - may be used to address capital needs.** Those agencies are the Kentucky Center for the Arts, the Northern Kentucky Convention Center, the Appalachian/Kentucky Artisans Gateway Center, and the Eastern Kentucky Exposition Center.

The following information is to be provided:

Source(s) of Revenue – Describe the source(s) from which the agency derives revenues that are not reflected in the budget process.

2004-06 Receipts – Identify the total 2004-06 receipts from facility-generated or other off-budget revenues.

Expenditures from 2004-06 Receipts for Capital-Related Items – Identify specific uses and the amounts expended for capital-related needs from the 2004-06 receipts. These uses may include deposits to reserves for future capital needs.

## PROJECTS APPEARING IN PLANS OF MULTIPLE AGENCIES

**FORM SYP-A4 is to identify each project that is being proposed by multiple agencies and that is submitted in the plans of all of those agencies as an identical project.** The project title and biennium in which the project is proposed is to be listed as it appears in the reporting agency's plan, followed by a listing of the other agency plans in which the project appears and the project title in each of those plans. Titles for the same project should be consistent between/among agencies.

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## APPENDIX A

## CHECKLIST OF FORMS TO BE COMPLETED FOR AGENCY PLANS

**Responses to the following questions will determine the forms that must be completed for the agency's 2008-2014 capital plan.**

### Background

Agency Mission & Programs – ***Form SYP-B1*** must be completed by each agency.

Agency Facilities Management – ***Form SYP-B2*** must be completed by each agency.

Capital-Related Reports

Does your agency have capital-related reports that meet any of the following criteria? If yes, ***Form SYP-B3*** must be completed. Yes/No

- Completed since April 1, 2005.
- Currently underway.
- Plan to be undertaken during the reminder of the 2006-08 biennium.

Agency Physical Plant

Since April 1, 2005, have there been any changes in the state-owned property (land and/or facilities) *managed/administered by your agency*? Changes include acquisition, disposal, occupancy, use. If yes, ***Form SYP-B4a*** must be completed. Yes/No

As of March 31, 2007, is there any *vacant square footage* in a state-owned facility that is managed/administered by your agency? If yes, ***Form SYP-B4b*** must be completed. Yes/No

Since April 1, 2005, have there been any changes in your agency's occupancy of state-owned property (land and/or facilities) that is *managed/administered by another state agency*? If yes, ***Form SYP-B4c*** must be completed. Yes/No

Since April 1, 2005, have there been any changes in your agency's occupancy of non-state-owned property (land and/or facilities) that is *leased from a non-state entity*? If yes, ***Form SYP-B4d*** must be completed. Yes/No

Since April 1, 2005, have there been any changes in your agency's occupancy (*sublease*) of non-state-owned facilities that are leased by another state agency? If yes, ***Form SYP-B4e*** must be completed. Yes/No

Is your agency responsible for any state-owned aircraft? If yes, ***Form SYP-B4f*** must be completed. Yes/No

Status of Recently Completed/Ongoing Projects

Does your agency have authorized projects that meet any of the following criteria? If yes, ***Form SYP-B5*** must be completed. Yes/No

- Construction projects or information technology systems completed since submission of the 2006-2012 plans in April 2005.
- Maintenance pools authorized in the 2004-06 and 2006-08 budgets and financed from state cash (e.g., Investment Income) or bonds.
- Grant/loan programs authorized in the 2006-08 budget.

## Plan

Plan Overview – ***Form SYP-P1*** must be completed if the agency submits Form SYP-P2, P3, or P4.

Proposed Projects

Does your agency propose to undertake capital projects in any of the three upcoming biennia (2008-10, 2010-12, 2012-14) as follows. If yes, ***Form SYP-P2*** must be completed for each.

| | |
|---|---|
| - Capital construction with an estimated cost of $600,000 or more. | Yes/No |
| - Project pools consisting of multiple construction projects costing less than $600,000 each. | Yes/No |
| - Equipment with an estimated cost of $200,000 or more. | Yes/No |
| - Information technology system with an estimated cost of $600,000 or more. | Yes/No |
| - State-administered grant/loan program included in the capital budget that provides financial assistance to non-state agencies or entities. | Yes/No |
| - Court facility where the annual use allowance for the new or renovated space is $200,000 or more. | Yes/No |

Space Needs

| | |
|---|---|
| Does your agency have any space needs that are not proposed to be addressed through a project reported on Form SYP-P2? (Such needs would usually be addressed by a lease.) If yes, ***Form SYP-P3*** must be completed. | Yes/No |

Space Reductions

| | |
|---|---|
| Does your agency propose to eliminate any space it currently administers or occupies (e.g., through disposal / demolition of state-owned property, termination of a lease with replacement space not to be leased)? If yes, ***Form SYP-P4*** must be completed. | Yes/No |

## Ancillary Records

Agency Bond Priorities

| | |
|---|---|
| Is your agency proposing any projects that are to be financed from agency bonds? If yes, ***Form SYP-A2*** must be completed. | Yes/No |

Off-Budget Funds

| | |
|---|---|
| Does your agency have specific statutory authority to use facility-generated or other off-budget revenues to address capital needs or to deposit to reserves for such purposes? If yes, ***Form SYP-A3*** must be completed. | Yes/No |

Projects Appearing in Plans of Multiple Agencies

| | |
|---|---|
| Is your agency proposing any projects for the planning period that are also listed in another agency's plan? If yes, ***Form SYP-A4*** must be completed. | Yes/No |

## APPENDIX B

## CAPITAL PLAN SUBMISSION LEVELS

Capital plans are to be completed and submitted at the organizational levels identified below:

- Most executive branch agencies and some cabinets are to complete and submit a single capital plan to CPAB. While parts of the plan may be developed at different organizational levels, the final submission is to reflect the consolidation or compilation of data for the entire agency or cabinet as appropriate. For example, a cabinet submission will have a single Agency Mission and Programs narrative, not a separate narrative for each department and entity attached to the cabinet. Similarly, there will be a single report of all cabinet-owned space, not a separate report for each agency within the cabinet.
- In most executive branch cabinets, a separate, complete plan is to be prepared by each major department/agency. A "Secretary's Office/All Other" agency submission is identified for these cabinets to address entities attached to the cabinet - either directly or for administrative purposes - that are not required to prepare a separate, complete plan. All plans for the cabinet are to be submitted to the cabinet secretary for the assignment of cabinet priorities to the proposed projects and preparation of a cabinet-level plan overview. The cabinet will then submit all of the plans to CPAB, together with the cabinet priorities and the cabinet overview.
- Several executive branch agencies that are organizationally attached to a specific cabinet are to complete and submit plans directly to CPAB. These plans need not be routed through the cabinet to which the agency is attached for the purpose of assigning cabinet priority numbers.
- For the legislative and judicial branches, a single plan encompassing all entities within the branch is to be submitted by the Legislative Research Commission and Administrative Office of the Courts, respectively.

Contact the CPAB office if further information is needed relative to the specific entities expected to be addressed by each cabinet or agency plan.

**For each of the following, a single plan is to be submitted.**
(All departments, offices, divisions, and/or administratively attached entities are to be addressed.)

Legislative Branch
Judicial Branch

Office of the Governor
Secretary of State
Dept. of Law (Attorney General)
State Treasury (State Treasurer)
Auditor of Public Accounts
Dept. of Agriculture (Agriculture Commissioner)

Economic Development Cabinet
Personnel Cabinet
Transportation Cabinet

Eastern Kentucky University
KY Community & Technical College System
Kentucky State University
Morehead State University
Murray State University
Northern Kentucky University
University of Kentucky
University of Kentucky Hospital
University of Louisville
Western Kentucky University

Department of Military Affairs
Department of Veterans Affairs
Governor’s Office for Local Development
Unified Prosecutorial System
Kentucky Retirement Systems
Judicial Form Retirement System
Personnel Board
Board of Elections
Registry of Election Finance
Executive Branch Ethics Commission
KY Lottery Corporation

School Facilities Construction Commission
KY Higher Education Assistance Authority
KY Housing Corporation
KY River Authority
KY Higher Education Student Loan Corporation
Department of Education
Council on Postsecondary Education
KY Teachers’ Retirement System

Board of Accountancy
Board of Auctioneers
Board of Barbering
Board of Chiropractic Examiners
Board of Dentistry
Board of Embalmers & Funeral Home Directors
Board of Examiners & Registration of Architects
Board of Examiners & Registration of Landscape Architects
Board of Hairdressers & Cosmetologists
Board of Medical Licensure
Board of Nursing
Board of Optometric Examiners
Board of Respiratory Care
Board of Pharmacy
Board of Physical Therapy
Board of Podiatry
Board of Real Estate Appraisers
Board of Registration for Professional Engineers /Land Surveyors
Real Estate Commission

**For the following cabinets, plans are to be completed at the agency level but submitted to and through the cabinet to allow for the completion of a cabinet overview and assignment of cabinet priority rankings to proposed projects.**
(All departments, offices, divisions, and/or administratively attached entities are to be addressed in the plan for each agency that is listed.)

COMMERCE CABINET
- Kentucky State Fair Board
- Kentucky Arts Council
- Kentucky Historical Society
- Kentucky Center for the Arts
- Department of Fish and Wildlife Resources
- Kentucky Horse Park
- Department of Parks
- Kentucky Artisans Center at Berea
- Department of Tourism
- Kentucky Heritage Council
- Northern Kentucky Convention Center
- Frankfort Convention Complex
- Eastern Kentucky Exposition Center
- Governor's School for the Arts
- Kentucky Sports Authority
- Office of the Secretary/All Other (Commerce Cabinet)

EDUCATION CABINET
- Department for Workforce Investment
- Department for Libraries and Archives
- Kentucky Educational Television
- Commission on the Deaf & Hard of Hearing
- Education Professional Standards Board
- Kentucky Center for School Safety
- Kentucky Environmental Education Council
- Office of the Secretary / All Other (Education Cabinet)

ENVIRONMENTAL AND PUBLIC PROTECTION CABINET
- Department for Environmental Protection
- Department for Natural Resources
- Department of Public Protection
- Department of Labor
- Office of the Secretary / All Other (EPPC)

FINANCE AND ADMINISTRATION CABINET

- Office of Administrative Services
- Commonwealth Office of Technology
- Department for Facilities and Support Services
- Department of Revenue
- Office of the Controller
- Office of General Counsel
- Office of the Secretary / All Other (Finance and Administration Cabinet)

HEALTH AND FAMILY SERVICES CABINET

- Undersecretary for Health
- Undersecretary for Human Services
- Undersecretary for Children and Family Services
- Undersecretary for Administrative and Fiscal Affairs
- Office of the Secretary / All Other (Health and Family Services Cabinet)

JUSTICE AND PUBLIC SAFETY CABINET

- Department of Kentucky State Police
- Department of Kentucky Vehicle Enforcement
- Department of Criminal Justice Training
- Department of Juvenile Justice
- Department of Corrections
- Department of Public Advocacy
- Office of the Secretary / All Other (Justice and Public Safety Cabinet)